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SERVICES

# *2000* GENERAL OPERATING SUPPORT

*Grant Application  
and Guidelines*

*Application Deadline:*  
January 15, 2000  
*For information, call*  
*IMLS: (202) 606-8539*

# GENERAL OPERATING SUPPORT

## *Grant Application and Information*

Fiscal Year 2000

What is IMLS?

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by Act of Congress in 1996 to improve museum, library and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public.

IMLS is the only Federal agency that provides general operating support for museums of all disciplines. For many museums, IMLS is the only source of Federal support. The policies and programs of the Office of Museum Services within IMLS are determined by the National Museum Services Board (NMSB), a Presidentially-appointed body of fifteen voting members.

For more information call or write:

Institute of Museum and Library Services  
1100 Pennsylvania Avenue, NW  
Washington, DC 20506  
(202) 606-8536

[http:// www.imls.gov](http://www.imls.gov)

TTY (for hearing impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant application and information booklet by contacting IMLS.

Burden estimate and request for public comments

Public reporting burden for this collection of information is estimated to average eighteen hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.



Dear Colleague:

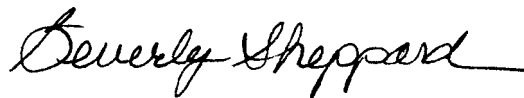
General Operating Support continues to be the cornerstone of museum funding at IMLS. These highly competitive grants recognize excellence in museum operations and encourage the best in museum practice. They are awarded on the basis of peer review and reflect the museum field's acknowledgement of the highest application of professional standards. Preparing a GOS application also provides a museum with a comprehensive tool for self assessment.

The development and refinement of GOS have been supported by the efforts of thousands of museum professionals, who have contributed to the program as applicants, reviewers and panelists. IMLS depends especially on the generosity of hundreds of reviewers who give of their time and expertise to make this process work. The need for reviewers continues, and we urge you and your staff to share your knowledge and expertise in this very important way. This book contains a reviewer application for your convenience.

Each year the GOS application includes changes that reflect current developments in the museum field and address issues identified by staff and reviewers. Two additions are of special importance this year. The Exhibitions and Education sections emphasize the use of outcomes-based evaluation techniques — evaluation that demonstrates the impact of the museum's work on its audience. The Guidelines also underscore that it is your responsibility to assure that the application you submit is complete. Please be thorough in checking that your application addresses all IMLS requirements.

At IMLS we are proud of the open and ongoing dialogue we have established with our constituents. As you review the application and its requirements, please continue to contact us with your questions, ideas and suggestions. We place a priority on being responsive so that we may continue to improve our service to you.

Sincerely,



Beverly Sheppard  
Acting Director

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## **GUIDELINES**

## What is General Operating Support (GOS)?

The IMLS General Operating Support (GOS) program awards **two-year** unrestricted, competitive grants to museums for ongoing institutional activities. Grants are based on the overall strength and quality of the applicant as represented by its responses in the application.

The goal of the GOS program is to distribute Federal funds equitably, that is, in proportion to the number of museums applying in each of the various categories. During one grant cycle, the percentage of museums awarded funds within a given discipline or budget size closely corresponds to the percentage of *all* applications submitted by museums of that same discipline or budget size.

Each museum is reviewed by peers on the basis of the application it submits for that year alone. No information from previous applications is considered in the current competition. Previously successful applications neither guarantee nor entitle an institution to ongoing funding; therefore, funds should *never* be budgeted in anticipation of a GOS award.

If you receive a GOS grant this year, you are not eligible for another one for two more years (since the grant covers a two-year period). If you apply for but do not receive a grant this year, you may apply again next year.

Beginning with the 1996/1997 competition, any museum that receives two consecutive awards will not be eligible to compete for a third consecutive award, but may reapply for a subsequent competition. For example, a museum that received a FY 96/97 award and then a FY 98/99 award will not be eligible to apply for the FY 2000 competition. It may apply in the FY 2001 competition.

First-time applicants should note that the application requires a considerable amount of time to complete. Prior to filling out the application, applicants must read the guidelines and instructions; collect needed data and information; and conduct an institutional self-evaluation. IMLS recommends that *all* applicants begin this lengthy process well in advance of the deadline for submission.

## Eligibility Criteria

To be eligible for IMLS support, your museum must:

- be organized as a public or private nonprofit institution that exists on a permanent basis for essentially educational or aesthetic purposes; *and*
- care for, and own or use tangible objects, whether animate or inanimate, and exhibit these objects on a regular basis through facilities which it owns or operates; *and*
- have at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose primary responsibility is the acquisition, care or exhibition to the public of objects owned or used by the museum; *and*

- be open and providing museum services to the general public (an institution which exhibits objects to the general public for at least 120 days a year fulfills this requirement); *and*
- be open and have provided museum services to the general public on a regular basis for at least two full years prior to the date of application to IMLS; *and*
- be located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

*Note: Institutions that received a Fiscal Year 1999 GOS grant may not apply for a Fiscal Year 2000 GOS grant.*

#### WHO MAY APPLY

Each museum may submit only one GOS application during a given fiscal year. The following are among the types of museums that may apply:

Aquariums	Historic Houses/Sites
Arboretums	Natural History Museums
Art Museums	Nature Centers
Botanical Gardens	Planetariums
Children's/Youth Museums	Science/Technology Centers
General Museums	Specialized Museums
<i>(with two or more significant disciplines)</i>	<i>(limited to a single, distinct subject)</i>
History Museums	Zoological Parks

*Federally operated museums may not apply for GOS funds.*

#### MUSEUMS WITHIN MULTIPURPOSE ORGANIZATIONS

Museums located within multipurpose public or private nonprofit organizations such as municipalities, universities, historical societies, foundations, and cultural centers may apply for GOS funds. To be eligible, a museum located within a multipurpose organization must function as a discrete unit within its parent organization.

In addition, the museum must:

- have at least one full-time professional staff member, or the equivalent, paid or unpaid, whose responsibilities are solely for the museum's services and operations; *and*
- have a fully segregated and itemized operating budget within that of its parent organization; *and*
- be able to separately and distinctly fulfill *all* GOS eligibility and application requirements.

Support, auxiliary, or parent organizations that apply on behalf of museums which they own or operate or with which they are affiliated are not eligible to apply for GOS funds on their own behalf. The amount of the award is based solely on the *museum's* non-Federal operating income. Funds may be used for the *museum's operations only*; they may *not* be used for the operations of the larger organization.

Information and financial data presented in the application should be *only* that of the eligible museum. Activities of the parent organization which are not directly related to the museum's operations should not be discussed, as the award of GOS funds will be based solely on the quality of the *museum's* services.

**TWO OR  
MORE  
MUSEUMS  
CONTROLLED  
BY THE  
SAME  
PARENT  
ORGANIZATION**

If two or more museums wish to apply that are under the control of one parent multipurpose organization, have shared administrative functions, or have overlapping governing or advisory boards, IMLS requires that *each applicant museum*:

- have an independent governing or advisory body; *and*
- have a separate administrative head with full authority over the museum; *and*
- have a separately developed operating budget within the larger budget of the parent organization; *and*
- be able to fulfill all GOS eligibility and application requirements.

Prospective applicants that cannot fulfill all four of these requirements should contact IMLS to discuss their eligibility prior to application. We may require additional supporting documentation from the applicant in order to determine the autonomy of the museum. Each eligible applicant within a single parent organization should clearly delineate its own programs and operations in the application narrative.

A parent organization controlling multiple museums which are not autonomous but which are otherwise eligible may submit only one GOS application, which may be on behalf of one or more of the eligible museums.

## Amount of Request

If the amount of the museum's non-Federal operating income for the most recently completed fiscal year is:	The maximum amount of the award is:
Under \$7,500	50% of the non-Federal operating income
Between \$7,500 and \$50,000	\$7,500
Between \$50,000 and \$750,000	15% of the non-Federal operating income
\$750,000 and over	\$112,500



Grantees will receive the total amount indicated above over a two-year period. They will *not* receive the total amount each year of the grant cycle.

The Federal funding available to IMLS for the Fiscal Year 2000 was undetermined when these guidelines were printed. A museum may request the maximum amount for which it is eligible according to the above chart.

## How GOS Funds May Be Used

GOS awards may be applied toward a variety of uses:

- Accounting
- Audit services
- Budgeting
- Communications
- Compensation for personnel services (salaries, wages)
- Employee fringe benefits
- Legal Expenses
- Transportation
- Maintenance and repair
- Materials and supplies
- Official Travel
- Payroll preparation
- Personnel administration
- Procurement services
- Rental of buildings, land, and equipment

### **COSTS ALLOWED ONLY WITH PRIOR APPROVAL**

The following costs are allowed, but require *prior approval* from IMLS:

- Public information services including pamphlets, news releases, and advertisements
- Publication costs including distribution, promotion, and mailing
- Equipment having a useful life of more than two (2) years and an acquisition cost of \$5,000 or more per unit

An applicant that receives an award must contact IMLS if additional costs requiring IMLS approval were identified after the application was submitted.

*Note: To receive approval for any of the above items, you must complete Item "C" on the Grant Processing Information Sheet (Application Form page 6.11).*

## How GOS Funds May *Not* Be Used

Other expenditures are not allowable and cannot be supported with GOS funds:

- Contributions to endowment funds
- Acquisition of objects for the collection
- Costs of social activities, ceremonies, and other entertainment
- Pre-award costs (costs incurred prior to the effective date of the grant)
- Construction
- Renovation

Applicable government-wide cost principles are listed in Section 1180.10(a) of published IMLS Regulations, available upon request.

## Notification of Award

No information regarding the status of an application will be released until all applications have been reviewed and all negotiations concluded. FY 2000 applicants will be notified of final decisions in September 2000. An award is not official until the grantee receives the "Grant Award Notification."

## Grant Period

The FY 2000 grant period is October 1, 2000 through September 30, 2002. We will make *no* extensions of these periods.

## Payment, Accounting, and Reporting Procedures

A Federal accounting office will send each grantee eight payments during the two-year grant period. Except in special cases, funds will be automatically sent in equal portions on a quarterly basis. All payments will be made by direct deposit electronic transfer through the Department of Treasury.

IMLS requires grantees to maintain a restricted account for funds received during the grant period. The museum does not need to maintain a separate bank account for IMLS funds; however, the grantee must establish and maintain a separate accounting category within its internal accounting system to show that the GOS award has been used only for general operating costs. This restricted accounting record must be adequate to satisfy normal auditing procedures.

GOS grantees must file two reports upon completion of their grant: a final performance report and a final financial report. Failure to submit these required reports on time may jeopardize any pending or future IMLS applications.

## Maintenance of Effort

GOS funds are intended to strengthen and improve the operations of the museum and, therefore, may not be used to replace other sources of support. Grantees must be able to demonstrate a continuing effort to maintain or increase their base of financial support during the years in which they receive an IMLS award.

A grantee may successfully demonstrate maintenance of effort if its non-Federal operating income during each year of the grant period is at least equal to its non-Federal operating income for the fiscal year immediately preceding the grant period. Grantees must submit evidence with their final performance report that they have fulfilled this requirement.

## Final Report

It is important for IMLS to document the value of this grant program in helping museums improve their services. To accomplish this goal, IMLS seeks to identify the outcomes of its grant support from grantees in their final reports. All GOS grantees are required to complete a final report on the grant activities. IMLS will provide each grantee with a format and examples of items to be included in a final report. Also, IMLS will provide each grantee with other tools for outcome evaluation. During the grant period plan to record specific actions, changes in practice and knowledge, concrete plans for future activities, and other accomplishments that are a result of receiving GOS funds. In addition, each grantee must maintain accounting records that identify the source and use of funds.

Increasingly, organizations like IMLS are turning to a model called “outcome measures” or “outcome evaluation” for self-evaluation of the success of their programs and projects. Organizations have found that outcome evaluation, which includes identifying specific goals and measures for documenting their successful achievement, provides an extremely good management tool. In addition, planning for outcome measurement and keeping information on progress throughout the course of a project helps institutions assure they are meeting their aims in the process of programs, not only at their completion. It can provide important feedback for modifying plans of work or practices at any point in a program’s implementation. Information on outcome evaluation can be found in print and on line from many excellent sources.

## Application Review

After IMLS receives the applications, program staff check them for completeness and eligibility. Each application is then sent to four peer reviewers for their independent evaluations.

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### HOW APPLICATIONS ARE ASSIGNED

IMLS staff use two criteria to match applications with appropriate reviewers: 1) **the museum’s budget size** and 2) **the museum’s discipline**. Only those individuals whose professional experience corresponds to the applicant museum’s type and size may review that application. For example, *only* professionals from small history museums review applications from other small history museums; *only* professionals from large art museums review applications from other large art museums. Each reviewer evaluates an average of eight applications.

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### EVALUATION AND AWARD RECOMMENDATIONS

IMLS instructs reviewers to evaluate how well the museum uses its resources to meet its stated mission. Reviewers examine the degree to which the museum demonstrates knowledge of and adherence to generally accepted professional practices of museum operation.

Reviewers provide scores and comments for each of the narrative sections. The seven possible scores range from leadership (7) to unsatisfactory (1). A full description of the scoring definitions can be found in the back of the application packet.

Reviewers return their evaluations to IMLS. IMLS staff read and evaluate all comments provided by the reviewers, looking specifically for statements that reveal a departure from IMLS policy.

Problematic reviews are presented for resolution to a panel of museum professionals, convened in Washington, DC, which represents the range of museum disciplines and budget categories. The panel also reviews the statistical distribution of the awards and makes general recommendations concerning the application and review process.

Following the panel meeting, all applications are ranked according to final standardized scores. IMLS standardizes scores to account for the differences among reviewers' interpretations of the scoring definitions. The final ranking reflects any adjustments resulting either from panel recommendations or from disregarding a reviewer's scores that statistically disagree with scores of the other three reviewers of a particular set of applications.

Following a policy established by the National Museum Services Board, the Director of IMLS awards GOS funds to the highest ranking applicants in sequence until all appropriated funds are expended.

You may contact the IMLS Office of Museum Services to clarify any information contained in this booklet. Office hours are 8:00 a.m. to 5:30 p.m. (eastern time), Monday through Friday.

Institute of Museum and Library Services  
Office of Museum Services  
1100 Pennsylvania Avenue, NW  
Room 609  
Washington, DC 20506  
(202) 606-8539

TTY (for hearing impaired people): (202) 606-8636  
These guidelines are available at the IMLS website  
<http://www.imls.gov>

## Description of Application Materials

*The following alphabetical list contains all of the materials that comprise a General Operating Support grant application. Read the descriptions carefully to determine which ones you must submit. The page numbers in parentheses refer to the Application Form at the back of this booklet. Your application is subject to rejection if it is not complete when you submit it.*

### ASSURANCES/ CERTIFICATION OF AUTHORIZING OFFICIAL

*Complete this section last.* To be considered for a grant, your museum's Authorizing Official must read the assurances and sign the accompanying certification statement (see Application p. 6.13)

Your museum's Authorizing Official may be the museum's director, an executive member of the museum's governing body, the head of the sponsoring organization, or the government official responsible for oversight of your museum.

Your application is not complete unless it has been signed by your Authorizing Official.

### AUDITED FINANCIAL STATEMENTS

You must submit audited financial statements (statement of activity and balance sheet) of your museum's operations for either one of its two most recently completed fiscal years, if you have received at least one IMLS (formerly IMS) General Operating Support (GOS), Conservation Project Support (CP), Special Project Support\* (SP) or Museum Leadership Initiatives (MLI) award.

If you have *never* received one of the above grants, you are *not required* to submit audited financial statements; however, we encourage all applicants to submit these statements if they are available.

In special circumstances, you may be eligible for 1) a deferral or waiver of the audit submission or 2) an extension to submit the audit. See p. 2.5 for a description of these circumstances and the process you must follow.

The audited financial statements must correspond to the fiscal year covered in either Form A or Form B.

*All applicants* must submit Forms A and B whether or not they submit audited financial statements.

To be acceptable, your audited financial statements must include the auditor's opinion letter, the financial statements and the notes to the financial statements.

The auditor's opinion letter must:

- state that it was prepared in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as deemed necessary; *and*

\* *Special Project Support Grants are no longer available from IMLS.*

- certify that the financial statement of the museum presents fairly the financial position and the results of its financial operations and changes in fund balances in accordance with generally accepted accounting principles; or, that the financial statement presents fairly the assets and liabilities arising from cash transactions, the revenue collected and expenses paid during the year then ended, on the cash basis of accounting; *and*
- clearly indicate that it has been prepared by a Certified Public Accountant. [The opinion may be signed by a Registered Public Accountant only if (s)he is licensed to do so by the state in which (s)he practices.]

*Note: We cannot accept a financial statement which is a "review," a "compilation," or a "draft," or which contains a disclaimer or an adverse opinion.*

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#### FACE SHEET & FINANCIAL INFORMATION CHECKLIST

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Original Application Face Sheet (page 6.3) and Financial Information Checklist (page 6.4). Provide answers to all questions. Abbreviate where necessary.

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#### FINANCIAL STATEMENT FORMS A & B

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Financial Statement Forms (Form A, pages 6.5–6.6 and Form B, pages 6.7–6.8). *All applicants* must submit financial statements for the museum's two most recently completed fiscal years on the Financial Statement Forms provided. You must use *these forms only* for your most recently completed fiscal years. Instructions for completing the Financial Statement Forms are in Part 3.

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#### GRANTS PROCESSING INFORMATION SHEET

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Grant Processing Information Sheet (page 6.11). Provide answers to all questions in sections A and B. Complete section C if applicable. GOS reviewers do not see the information on this page.

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#### PAGE LENGTH

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## Narrative

There are no restrictions on the length of any specific narrative section (i.e. Audience, Collections, Exhibitions, etc.), but the total narrative packet (all ten/nine sections) must not exceed the page length listed below.

Your application may not exceed 15 pages in length if you are a collections holding institution. If you are a non-collections holding institution you may not exceed 14 pages.

The mission statement/museum history page, and the organizational chart are not part of this restriction. They may be no more than one additional page each.

#### WHAT IS A PAGE?

One page = one side of an 8.5 x 11 inch piece of paper.

<u>Type of museum</u>	<u>Narrative</u>	<u>Org. Chart</u>	<u>Mission/History</u>
Collections holding	15 pages	1 page	1 page
Non collections holding	14 pages	1 page	1 page

Please number the pages of your narrative. Section I. Audience should be page 1. The financial forms, mission statement, organizational chart, etc. should not be part of the page numbering.

Proofread your submission.

It is your responsibility to assure the application you submit is complete and meets our requirements.

IMLS staff makes a conscientious effort to check all applications for completeness and contact you if we find something missing. However, we do not accept unsolicited application materials postmarked after January 15, 2000. In addition, once the applications are sent to the field reviewers no changes can be made. Thus if you leave out a narrative section, the reviewers will be instructed to give your application a score of 1 for that section.

#### TYPE SIZE AND FONT

The boxes below contain examples of type sizes and fonts that you may use on your application. You may choose any **one** of these examples or any other type face that measures *no more than* six lines per vertical inch. Six lines (or fewer) must be *fully* contained within a one-inch box as in the examples below. (When measuring, place a one inch-box so that the top of it just brushes the top of your text. If you can fit more than six lines of text in the box, the type is too small.)

Use a type face with standard spacing between letters and do *not* use a condensed type face such as Helvetica Narrow. Use the same type size and font throughout the entire application form. It is essential that your application form be legible so that reviewers can easily read the information you provide.

#### 12 pt. Times

O . K . !

IMLS is continually trying to make the application process as fair as possible for everyone. Some applicants use such small type when filling out their application forms that reviewers can barely read the responses to the questions. The use of small or condensed type is unfair to the reviewers and to the other applicants

#### 10 pt. Helvetica

O . K . !

IMLS is continually trying to make the application process as fair as possible for everyone. Some applicants use such small type when filling out their application forms that reviewers can barely read the responses to the questions. The use of small or condensed type is unfair to the reviewers and to the other applicants who cannot fit as much information into the given amount of space. To increase your chances of receiving a

The following boxes contain examples of type sizes and fonts that are difficult to read and, consequently, are *not* allowable. Note that each one measures *seven* lines per vertical inch.

**9 pt. Times**

**TOO SMALL!**

~~IMLS is continually trying to make the application process as fair as possible for everyone. Some applicants use such small type when filling out their application forms that reviewers can barely read the responses to the questions. The use of small or condensed type is unfair to the reviewers and to the other applicants who cannot fit as much information into the given amount of space. To increase your chances of receiving a grant, make sure that your application form is extremely legible—select an appropriate type face and use adequate white space. Consider your reviewers' eyesight at all times!~~

**9 pt. Helvetica**

**TOO SMALL!**

~~IMLS is continually trying to make the application process as fair as possible for everyone. Some applicants use such small type when filling out their application forms that reviewers can barely read the responses to the questions. The use of small or condensed type is unfair to the reviewers and to the other applicants who cannot fit as much information into the given amount of space. To increase your chances of receiving a grant, make sure that your application form is extremely legible—select an appropriate type face and use adequate white~~

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**FORMAT**

Leave a margin of at least 1/4 inch on all sides. You may use the allotted space any way you wish within each section, but do not exceed the margin limit or overall page limit. You may *not* attach additional pages for your narrative responses.

We recommend that you produce the application form on a word processing system.

*Applicants that do not not comply with the rules regarding type size, font and format may be penalized by having their final scores reduced, possibly resulting in disqualification for a GOS grant. If you have any questions, call the IMLS Office of Museum Services at (202) 606-8539.*

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**PROOF OF  
NONPROFIT  
STATUS**

If your organization is part of state, municipal, or county government (you checked 2,3, or 4 on line 11 of the Application Face Sheet pg 6.3) *or* you are university controlled (you circled "Yes" on line 13 of the Application Face Sheet pg. 6.3 ) you do not need to submit supporting documentation at this time.

If you are a private not-for-profit organization (#5 on Line 11 of Application Face Sheet pg. 6.3) or other (#6 on line 11 of the Application Face Sheet pg. 6.3) you must submit:

- A copy of the IRS letter indicating your museum's eligibility for nonprofit status under the applicable provisions of the Internal Revenue Code of 1954, as amended.

*Note: We will not accept a letter of state sales tax exemption as proof of nonprofit status.*



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#### REPRESENTATIVE PUBLICATION (OPTIONAL)

You may attach **one** representative publication, such as an annual report or museum brochure, to your original application and to each of the four copies of your application (all five attachments must be identical).

If you send more than the **one** permissible publication, IMLS staff will arbitrarily select only one to send out to review. We will not return additional attachments.

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#### REQUEST FOR DEFERRAL OF AUDIT REQUIREMENT

You are eligible for a deferral of the audit requirement if your museum:

- shows a non-Federal operating income under \$250,000 for your most recently completed fiscal year (exclusive of non-cash contributions) on Financial Statement Form A; *and*
- submits a justification for the deferral request with the application; this statement should be sent on your museum's letterhead and addressed to the Director of IMLS.

*If a grant is subsequently awarded, an audit will be required during the grant period.*

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#### REQUEST FOR EXTENSION TO SUBMIT AUDIT

Very few applicants are eligible for an extension of the audit requirement. You are eligible for an extension only if your museum has received its first Conservation Project Support or first Museum Leadership Initiatives grant last year, FY 99.

*If you received a GOS, CP, MLI and/or Special Project Support\* (SP) grant in any year other than that mentioned above, you are not eligible for an extension.*

Your request must be made in writing to the Director of IMLS at the time of application. The postmark deadline for submitting the audited financial statements for FY 2000 applicants is June 26, 2000.

If you miss the deadline, we will reject your application.

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#### REQUEST FOR WAIVER OF SEPARATE AUDIT REQUIREMENT

You are eligible for a waiver of the separate audit requirement if your museum:

- is part of a larger, multipurpose organization such as a university, state, municipality, or foundation; *and*
- does not receive audits separate from those of your parent organization.

Applicants seeking a waiver must submit a request for the waiver of the separate audit on the letterhead of the larger, multipurpose organization which certifies that the above conditions are true and that

- at least one of the two required Financial Statement Forms has been drawn from and contains only audited figures of the larger organization (exclusive of non-cash contributions).

The person who prepares the Financial Statement Form containing the audited financial information should sign the request for the waiver of a separate audit. We *may* request the audited financial statements of your parent organization if they are required to determine your institution's eligibility.

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**STATEMENT  
OF  
PURPOSE/  
MISSION  
STATEMENT  
& HISTORY**  
(ONE PAGE ONLY)

Statement of Purpose/Mission Statement (maximum space one 8.5 by 11 inch page). You must submit a statement of purpose/mission statement which has been formally approved by your museum's governing authority; reviewers use your statement to measure your museum's performance as described in your narrative. The statement should accurately portray your museum's purpose or mission. If the statement is too long to quote in full, you may quote from or summarize the statement. **You must note the source, approving body and date of the official document.** You should use the remaining space available on the page to provide a brief history of the museum.

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**VALUING  
NON-CASH  
CONTRIBUTIONS  
(FORM C)**

Valuing Non-Cash Contributions (Form C, pages 6.9 and 6.10). **You must submit Form C.** Instructions for completing Form C are in Part 3, pages 3.5–3.7.

*\*Special Project Support grants are no longer available from IMLS.*

## Financial Statement Forms A and B

Financial Statement Forms A and B present financial data for your museum's two most recently completed fiscal years. Both statements must be completed in full and submitted by the application deadline. You *must* submit the financial statements in the format we have presented. You may not submit any other financial statements in lieu of Forms A and B.

*The time period covered by Forms A and B may be different from the time period discussed in the application narrative.*

### WHEN AN AUDIT IS ALSO SUBMITTED

If you are submitting audited financial statements, fully explain any deviations between the audit and the corresponding Financial Statement Form at the bottom of the IMLS form or on a supplemental sheet.

### WHAT EACH FORM INCLUDES

A complete Financial Statement Form includes the statement of revenue, other support, expenses, and net assets.

### THE TWO MOST RECENTLY COMPLETED FISCAL YEARS

Enter information for your museum's most recently completed fiscal year on Form A and for the second most recently completed fiscal year on Form B.

### EXPLANATION OF FUNDS

Enter all information on Forms A and B in the appropriate column according to the following classes:

#### UNRESTRICTED

Enter all revenues and expenses relating to the general operations of your museum. Money that has been designated for special purposes that are part of your general operations should also be reflected in this column. Most monies will be reflected in this column except for those with donor-imposed restrictions. Restricted funds that were released during the fiscal year and were used for a general operating purpose should be included here.

#### TEMPORARILY RESTRICTED

Enter all funds that reflect assets with a donor-imposed stipulation that expires at a specific time or require an action by the organization to release the funds. Any funds that were released during the fiscal year (of the form) should not be in this column: enter these in the Unrestricted column. Enter only funds that will be released in a future fiscal year and are being restricted on a temporary basis. Generally, this column would reflect funds that have set aside for upcoming projects, acquisitions, special collections funds, etc.

#### PERMANENTLY RESTRICTED

Enter all funds with donor-imposed stipulations that do not expire by passage of time nor can be released by action taken by the museum. Generally, this column would reflect funds in endowments, other long term investments, etc.

## Description of Line Items

A brief description of each line item is included below; these are provided for general guidance in filling out the form. Fill in the lines as appropriate for your organization.

### PROGRAM REVENUE

1. ADMISSIONS: General and special exhibition admissions. (Any admission income that is remitted to your parent organization which then allocates the income entirely or in part for your museum's operations should be included here or under Parent Organization Support but should not be included in both lines.)
2. MEMBERSHIP: All membership fees.
3. ENROLLMENT FEES/EDUCATION PROGRAMS: Tuition and fees from classes, training workshops and other educational programs.
4. MUSEUM STORE (GROSS): Revenues from operations of museum gift shop.
5. FOOD SERVICE (GROSS): Revenues from operations of museum restaurant or food service.
6. PUBLICATIONS, REPRODUCTION RIGHTS, ROYALTIES: Earned income from sales of publications and reproduction rights; royalties earned on museum publications.
7. SPECIAL EVENTS: Income from other special activities including performances, lectures, films, etc.
8. SPECIAL EXHIBITION FEES: Income generated from temporary, special exhibitions.
9. INVESTMENT INCOME: Profits realized on the sale of securities and/or assets.
10. INTEREST AND DIVIDENDS: Income in the form of dividends and/or interest generated by your museum's investments (including transfers from endowment income).
11. RENTAL: Income from rental of museum facilities, equipment, etc.
12. AUXILIARY ACTIVITIES: Revenues from benefits or other auxiliary activities.
13. MISCELLANEOUS/OTHER: All other sources of revenue not derived from contributions, grants and parent organization support. Specify the sources.
14. TOTAL PROGRAM REVENUES: Sum of lines 1–13.

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**OTHER  
SUPPORT**

15. FEDERAL GRANTS (INCLUDING IMLS, FORMERLY IMS): Federal grants including *all* IMLS grant programs received in the fiscal year.
16. INDIVIDUAL CONTRIBUTIONS: Individual contributions (other than those entered above).
17. FOUNDATION GRANTS: Private foundation contributions and grants.
18. CORPORATE GRANTS: Corporate and business contributions and grants (cash contributions only). Do not include items listed under "Total Value of Non-Cash Contributions."
19. STATE SUPPORT: State support, including Federal funds administered by states.
20. LOCAL SUPPORT: Local support, including Federal funds administered by localities.
21. PARENT ORGANIZATION SUPPORT: Parent or sponsoring organization support, including cash payments made directly to your museum and cash payments made to the producers of goods or services provided to your museum without cost. Indirect cost allocations for museums should be entered here; for example, maintenance, utilities, or services provided by your parent organization. Parent or sponsoring organization support included in this amount should NOT also be included under "Total Value of Non-Cash Contributions."
22. TRANSFERS: Monies released from restrictions during the current fiscal year.
23. TOTAL OTHER SUPPORT: Sum of lines 15–22.
24. NON-CASH CONTRIBUTIONS AUDITED FORM C FRONT: Fill in amount from bottom line of Form C Front.
25. TOTAL PROGRAM REVENUES AND OTHER SUPPORT: Sums of total program revenues plus other support for each column. Lines 14 + 23 + 24.
26. NON-CASH CONTRIBUTIONS FORM C BACK: Fill in amount from bottom line of Form C Back.
27. SUBTOTAL: Sum of lines 25 and 26.\*
28. TOTAL FEDERAL GRANTS: Copy the amount of Federal grants (including IMLS, formerly IMS) under "Other Support" (line 15).\*
29. TOTAL NON-FEDERAL REVENUES: Remainder after subtracting "Total Federal Grants" from subtotal.\* Enter this amount from Form A in item 22 of the application Face Sheet. Enter the amount from Form B in item 23 of the application Face Sheet.

\* This figure should come from the Unrestricted Column figures only.

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**EXPENSES**

30. SALARIES AND WAGES: Salaries and wages paid to employees of your museum.
31. BENEFITS: Benefits paid to employees of your museum, including health insurance, etc.
32. RENT/MORTGAGE: Expenditures for rent/mortgage for museum space.
33. MAINTENANCE: Maintenance fees for utilities (electricity, water, gas, etc.), janitorial services, buildings and grounds, and exhibitions.
34. INSURANCE: Insurance premiums for your collections/exhibitions and liability coverage.
35. MUSEUM STORE: Expenses associated with the operations of your museum gift shop.
36. FOOD SERVICE: Expenses associated with the operations of your restaurant or food service.
37. CONTRACTUAL: Expenses for any services provided to the museum that are not performed by staff.
38. PROFESSIONAL DEVELOPMENT: Expenses associated with staff training and education.
39. TRAVEL: Travel and lodging expenses associated with museum activities.
40. PRINTING AND PUBLICATION: Expenditures for museum-related publications and other printed materials.
41. TELEPHONE/COMMUNICATION: Telephone, fax machine, on-line time-sharing, and other related costs for museum operations.
42. POSTAGE: Postage and shipping costs associated with museum activities.
43. FUNDRAISING/DEVELOPMENT: Expenses associated with fundraising activities to benefit the museum.
44. MARKETING: Costs related to marketing and advertising used to promote the museum or the sale of museum products, services or activities.
45. SUPPLIES: Expenditures for materials and supplies necessary for the day-to-day operations of your museum.
46. EQUIPMENT: Expenditures for equipment necessary for the day-to-day operations of your museum.
47. OTHER: Any expenses not listed above. Specify.

48. SUBTOTAL EXPENSES: Total of all items listed above. Lines 30–47.
49. CHANGE IN NET ASSETS: Excess or deficiency of “Program Revenues and Other Support” over “Expenses.” Line 25 minus Line 48.
50. NET ASSETS, BEGINNING OF YEAR: Net Assets at the start of the fiscal year.
51. NET ASSETS, END OF YEAR: Net Assets at the end of the fiscal year.

## Form C Valuing Non-Cash Contributions

IMLS recognizes the significant contribution of volunteers and of other non-cash community support in providing museum services. You may increase the size of your potential award by completing Form C (Valuing Non-Cash Contributions) on Application Form pages 6.9 and 6.10. You **must** submit Form C and add the total value of contributions listed to your non-Federal revenues.

### DIFFERENCE BETWEEN FORM C FRONT AND FORM C BACK

Current accounting standards now result in many financial statements that reflect a value of non-cash contributions as well as the non-cash contributions being recognized as part of a formal audit. If the financial statements of the museum include non-cash contributions, identify those non-cash contributions on Form C Front.

IMLS also allows applicants to include non-cash contributions that might not be reflected in the financial statements based on current accounting standards. Identify non-cash contributions that are not included on the financial statements on Form C Back.

The instructions for completing both sides of the form are the same. Both sides of Form C reflect contributions during the fiscal year corresponding to Form A only.

*If the financial statements of the museum do not include non-cash contributions you need to complete only Form C Back.*

All Form C items should be described in application narrative section Support (see page 4.9). If you enter an amount under “Value of Non-Cash Contributions” on Form B, you do not need to fill out an additional Form C.

The values of contributed services, materials, and rental allowances included in Form C are subject to verification and negotiation. You should, therefore, retain documentation for the value of your non-cash contributions.

**INSTRUCTIONS FOR COMPLETING FORM C**

- Provide information only for your museum's most recently completed fiscal year. (Form A)
- Values for contributed services, materials, and rental allowances should be calculated separately.
- Values of contributed services, materials, and rental allowances may be included only if they relate to your museum's operating budget. For example: contributed services or materials relating to construction or renovation may not be included; a one-time contribution of real property which would later be considered a fixed asset may not be included. Contributions to collections may not be included.
- Do not include in any category on this form any amounts included under "Parent Organization Support" of Financial Statement Form A.
- Provide all information requested to indicate the means by which the values of contributed services have been determined
- In the parentheses on each line, indicate the number of individuals contributing that service.

SEVERAL FACTORS SHOULD BE CONSIDERED WHEN DETERMINING THE VALUE OF CONTRIBUTIONS.

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**VALUING  
CONTRIBUTED  
SERVICES**

- The services are an essential part of the organization's activities which, if not handled by volunteers (including unpaid docents), would be handled by paid staff if funds were available; *and*
- There is an objective basis for valuing these services.

One way to judge whether a volunteer meets the first criterion is to ask if the museum would hire and pay staff for the same services if funds were available. If the answer is "yes," those services should be valued at rates consistent with what is ordinarily paid for similar work within the applicant's organization. Services should *not* be valued at the rate of the volunteer's regular employment, but at the rate at which the museum would pay for those services if funds were available. If another employer furnishes the services of an employee, those services should be valued at the employee's regular rate of pay.

The time spent by board members in the normal fulfillment of board services may not be included as a contribution to the museum's operating budget. A board member's time may be included if the contributed service is separate from the normal fulfillment of board service and is spent on activities which would be handled by paid staff or consultants if funds were available.



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**VALUING  
CONTRIBUTED  
MATERIALS**

- Provide all information requested to indicate how the value of contributed materials was determined.

Materials donated for the museum's operations should be valued at their fair market value on the date of receipt if they are significant in amount and if there is a reasonable basis for valuation. Artifacts or objects donated to the museum collections should not be included.

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**VALUING  
CONTRIBUTED  
RENTAL  
ALLOWANCES**

- Provide all information requested to indicate how the value of contributed rental allowances was determined.

Rental allowances for use of space and equipment should be valued at fair market value for the locality.

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**TOTAL  
VALUES OF  
NON-CASH  
CONTRIBUTIONS**

- Enter the total value of non-cash contributions on Financial Statement Form A (Application Form page 6.5) for the most recently completed fiscal year on Line 24 for Form C Front and Line 26 for Form C Back.

The value of non-cash contributions received in your second most recently completed fiscal year may be included on Form B, but a corresponding Form C does not need to be submitted.

## Statement of Purpose/ Mission Statement

MAXIMUM SPACE: ONE PAGE

Each applicant must include a statement of purpose or mission statement. A statement of purpose identifies the goals toward which museum operations and programs are directed. **You must note the source, approving body, and date of the official document where this mission statement appears.** You should provide a brief history of the museum to place the statement of purpose in a meaningful context. *Reviewers do not score or evaluate the statement of purpose itself; instead, they use it to measure how well the narrative responses relate to your institution's overall mission or goals.* (See page 2.6 for more information on the statement of purpose.)

## Explanation of Questions

The narrative questions are arranged so that you present orderly descriptions of your museum's operations. Sections I through IV ask for information about audience and collections/exhibitions and their care and management. *Note: You will find separate questions for non-collection holding institutions (see pages 4.3–4.5).* In sections V through VII, you discuss your educational programs, physical facilities, safety and security and staff. The last three sections, VIII through X, ask you to address your museum's governance, management, support and long-range plan.

Include all of the information requested.

Pages 4.2–4.10 describe the *types* of information that should be included in the narrative responses. Other pertinent information should be included as appropriate.

## Suggestions for Competitive Applications

You should respond to the narrative questions with comprehensive descriptions of the museum. Reviewers look for evidence that museum staff 1) have knowledge of and adhere to generally accepted professional practices of museum operations; and 2) make the best possible use of available resources.

Competitive applications include complete, specific information. Reviewers must be able to clearly perceive the quality of the museum and the full range of its operations and services. Jargon and unsupported generalizations weaken the application.

GOS reviewers base their evaluations *only* on the information provided in the application—they are prohibited from using prior knowledge of your institution. Therefore, you should *never* rely on your museum's reputation; you must prove the high quality of its operations and services by your responses to the narrative questions.

*Note: Additional application tips are on the inside back cover.*

## Questions and Guidelines

The following guidelines outline the *types* of information that you should include. Related topics should be described when pertinent. Before typing your final responses, read the information concerning type size, font and format on pages 2.3–2.4. **Total narrative text for collections holding institutions should be a maximum of 15 pages, and for non collection-holding institutions the text should be a maximum of 14 pages. Applicants must also include one separate page for an organizational chart.**

***Responses should describe the museum's operations as close as possible to the date of application. You must provide a response for each narrative section: 10 sections if you are collections holding, 9 sections if you are not collections holding.***

### I. AUDIENCE

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

#### 1. HOW DOES THE MUSEUM REACH AN APPROPRIATELY BROAD AND DIVERSE AUDIENCE?

Using specific examples, discuss the museum's

- success in reaching a broad and diverse audience
- geographic area and demographics
- methods used to make facilities and services available to the general public and specialized audiences
- appropriateness of scheduled services and activities to the audiences
- attempts to expand the audience
- accessibility for people with disabilities and other underserved groups
- media outreach and publicity, including electronic media

#### 2. HOW ARE THE LEVELS OF PUBLIC PARTICIPATION IN THE SERVICES THE MUSEUM PROVIDES APPROPRIATE TO ITS AUDIENCES AND ACTIVITIES?

Using specific examples, consider

- the number of participants in each type of educational and interpretive activity for the last two years (e.g., number of students enrolled in classes or attendance at special events)
- an explanation of significant fluctuations in attendance
- include a schedule of open hours

*Note: Provide specific figures for museum attendance by calendar quarter and for total annual visitation for the last two calendar years. Provide an explanation of how you arrived at these figures and how you use them.*

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## II. COLLECTIONS

*Note: For the purposes of the GOS application, a museum that owns or uses only expendable objects such as “teaching” or “prop” objects is considered a non-collection holding museum.*

RELATE YOUR RESPONSES TO THE MUSEUM’S STATEMENT OF PURPOSE/ MISSION STATEMENT.

If you can answer “no” to the following two questions, your institution does not hold collections for purposes of the GOS grant application and you should *not* complete this section.

- Does the museum have the responsibility for permanent or on-going care of objects?
- Does the museum’s statement of purpose indicate that the museum will form collections to carry out its activities?

If you answered “yes” to either of the preceding questions, you *must* complete this section.

### 1. HOW DO THE MUSEUM’S COLLECTIONS SUPPORT THE STATEMENT OF PURPOSE?

Using specific examples, consider

- the size and kind of collections the museum owns or uses
- specific numbers and categories of collections, including historic structures

### 2. WHAT IS THE SIGNIFICANCE OF THE COLLECTIONS TO THE MUSEUM’S COMMUNITY AND CONSTITUENTS?

Using specific examples, consider

- how the collections were formed
- how the collections relate to the interests, history or cultural heritage of the community
- how the collections relate to any specialized audiences
- any changes in the significance of the collections for the community resulting from changes in the community

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## III. EXHIBITIONS

RELATE YOUR RESPONSES TO THE MUSEUM’S STATEMENT OF PURPOSE/ MISSION STATEMENT.

### 1. HOW DO THE MUSEUM’S EXHIBITIONS SUPPORT THE STATEMENT OF PURPOSE?

Using specific examples, consider

- the museum’s philosophy for the use, development and design of exhibitions
- how characteristics of the museum’s audiences influence exhibition topics and design
- how interpretive techniques relate to the exhibition philosophy and to the audience served

**2. HOW ARE EXHIBITIONS DEVELOPED AND EVALUATED?**

Using specific examples, consider

- decision-making processes for choosing exhibition topics
- involvement of staff, consultants, advisory groups or other participants in decision making
- frequency, purpose, outcome and follow-up of formal and informal exhibition planning meetings
- development, design and evaluation of in-house exhibitions (permanent, temporary and long-term)
- how the museum ensures that exhibits are well maintained and in working order
- borrowed and traveling exhibitions
- methods used to evaluate exhibitions, including the anticipated impact on the skills, knowledge, attitudes or behaviors of the exhibit's audience(s) and how the impact would be measured.

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**IV.  
MANAGEMENT  
AND CARE**

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

**CLARIFICATION OF SECTION IV. MANAGEMENT CARE**

If your institution is responsible for collections that are described in Section II (page 4.3), then you must answer Part A of Management and Care.

If you do not have any collections or those items you hold are defined as "prop" or "teaching" collections (page 4.3) **and** you did not answer Section II. Collections, then you should answer only Part B.

What if you have some of both?

Some museums, most frequently science centers and children's museums, have small collections, but also have a primary focus on non-collecting activities. In these cases you must first provide sufficient information under Part A that describe the care and management of your collection, then you may provide details under Part B about your exhibit activities.

**A. Collections Management and Care**

**Complete section IV. A. only if you are a collections holding institution and answered section II. Collections.**

**1. WHAT ARE THE MUSEUM'S POLICIES AND PRACTICES FOR THE RESPONSIBLE CARE AND MANAGEMENT OF COLLECTIONS?**

Using specific examples, consider

- how the museum formulates collections policy and the museum's success in implementing its policy
- how the museum ensures that acquisition and disposal of collections best serves the museum's purpose
- how the museum ensures the accuracy, completeness, safety and security of collections records

- conservation surveys/assessments, long-range conservation plans and priorities, and examination and treatment of collections
  - care and conservation of objects on exhibit and in storage, including maintenance of appropriate environmental conditions
  - preservation of historic structures
- (Discuss disaster preparedness plans in section VI. Physical Facilities/ Safety and Security.)*

## 2. HOW ARE THE COLLECTIONS USED?

Using specific examples, consider

- percentage of the collections available for exhibition, research, education, loan, etc.
- the extent of use of the collections for those activities
- any special considerations used to determine the availability of the collections
- what portion of the collections are on exhibit at any one time and what rotation schedules are maintained
- the extent, purpose and use of research by staff, visitors and scholars
- how research is relevant to the museum's purpose and how research findings are disseminated to the museum's audiences

## IV. MANAGEMENT AND CARE

### B. Exhibits Management and Care

Complete section IV. B. only if you do not hold collections and did *not* answer section

#### II. Collections.

## 1. WHAT ARE THE MUSEUM'S POLICIES AND PRACTICES FOR THE RESPONSIBLE CARE AND MANAGEMENT OF ITS EXHIBITS?

Using specific examples, consider

- how the museum ensures that exhibits best serve the museum's purpose
- how the museum formulates appropriate exhibit management policies and the museum's success in implementing its policies
- how the museum ensures the accuracy of exhibits
- how the museum ensures the safety and security of exhibits (Discuss disaster preparedness plans in section VI. Physical Facilities/Safety and Security.)
- the museum's policies for lending or selling exhibits
- what portion of the exhibits are on view at any one time and what rotation schedules are maintained
- the museum's procedures for handling broken exhibits
- how the museum provides adequate storage for exhibits/components
- how objects used in exhibits are safeguarded

## 2. WHAT IS THE SIGNIFICANCE OF THE EXHIBITS TO THE MUSEUM'S COMMUNITY AND CONSTITUENTS?

Using specific examples, consider

- how the exhibits relate to the interests, history or cultural heritage of the community
- how the exhibits relate to any specialized audiences
- any changes in the significance of the exhibits for the community resulting from changes in the community

**3. WHAT IS THE EXTENT, PURPOSE AND USE OF RESEARCH BY STAFF, VISITORS AND SCHOLARS?**

Using specific examples, consider

- the relevance of research conducted by museum staff and museum constituents to the museum's purpose
- how research is incorporated into other museum services such as education and publication
- how research findings are disseminated and to whom
- a description of any research facilities

**V. EDUCATION**

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

**1. HOW DO THE MUSEUM'S EDUCATION PROGRAMS SUPPORT THE STATEMENT OF PURPOSE?**

Using specific examples, consider

- the museum's philosophy for the use, development and design of educational programs
- how characteristics of the museum's audiences influence education programs

**2. HOW ARE EDUCATIONAL PROGRAMS DEVELOPED AND EVALUATED?**

Using specific examples, consider

- the museum's process for developing educational programs
- how needs and interests of the museum's audience are accommodated in the development of programs
- methods used to evaluate educational programs, including the anticipated impact on the skills, knowledge, attitudes or behaviors of the exhibit's audience(s) and how the impact would be measured

**VI. PHYSICAL FACILITIES/ SAFETY AND SECURITY**

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

**1. HOW DOES THE MUSEUM USE ITS PHYSICAL RESOURCES IN PROVIDING MUSEUM SERVICES TO THE GENERAL PUBLIC AND SPECIALIZED AUDIENCES?**

Using specific examples, consider

- a description of the physical facilities the museum owns or uses
- the total space available for museum operations in square footage or acreage (as appropriate)
- percentages (actual or approximate) of space allocations for each museum program or function [include the building(s) or parts of building(s), site(s), structure(s), and grounds]
- the museum's rationale for the allocation of its physical resources to various museum operations
- a description of auxiliary and support facilities such as libraries, gift shops, food service, auditoriums and vehicles (include adaptive and multifunctional uses)

**2. WHAT PRACTICES AND SCHEDULES DOES THE MUSEUM FOLLOW TO ENSURE THE PROPER CARE AND MAINTENANCE OF ITS PHYSICAL PLANT?**

Using specific examples, consider

- how general housekeeping practices are applied to public and private spaces of the museum
- how facility maintenance and repair schedules ensure the least disruption of public services and deter emergency situations
- appropriateness and supervision of personnel responsible for upkeep and maintenance
- planning for future improvements or repairs

**3. HOW DOES THE MUSEUM ENSURE THE SAFETY OF ITS STAFF, VISITORS, FACILITIES AND COLLECTIONS?**

Using specific examples, consider

- the museum's emergency/disaster preparedness policies and its success in implementing the policies
- practices for staff training in dealing with emergencies and disasters
- how emergency plans coordinate employee and visitor safety with facility and collection safety
- how mechanical and electronic devices are used to enhance safety
- how the museum ensures a safe working environment for staff
- how the responsibilities of internal and external security and emergency personnel are coordinated
- how the museum identifies and protects areas of restricted access

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**VII. STAFF**

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

**1. HOW ARE THE QUALIFICATIONS, RESPONSIBILITIES AND PROFESSIONAL ACTIVITIES OF THE MUSEUM'S PERMANENT, PROFESSIONAL STAFF APPROPRIATE TO THE MUSEUM'S MISSION?**

Using specific examples, consider

- the composition, number, titles, and qualifications of the museum's paid and unpaid professional, permanent staff in relation to their roles within the museum
- staff involvement in community activities as representatives of the museum
- staff involvement with local, regional, and national professional associations

**2. WHAT PERSONNEL POLICIES AND PRACTICES DOES THE MUSEUM FOLLOW ?**

Using specific examples, consider

- the level of participation in staff development activities
- participation in fellowships, sabbaticals, mentor relationships or related activities
- a description of recruitment, hiring, compensation, benefits and termination policies
- how staff performance is monitored, evaluated and rewarded

**3. HOW DOES THE MUSEUM SELECT, RECRUIT, TRAIN AND USE SUPPLEMENTARY STAFF?**

Using specific examples, consider

- the museum's success in recruiting, training and employing supplementary staff to enhance its services
- how the museum uses the services of volunteers, consultants, guest curators, interns and others



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**VIII.  
GOVERNANCE  
AND  
MANAGEMENT/  
FINANCIAL  
MANAGEMENT**

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

**1. HOW IS THE MUSEUM'S GOVERNING AUTHORITY APPROPRIATE TO THE MUSEUM'S MISSION AND OPERATION?**

Using specific examples, consider

- a description of the structure of the museum's governing authority
- a description of the selection, term of service and orientation for members of the governing authority
- how the composition and qualifications of the museum's governing authority enhance the museum's effectiveness
- activities of the museum's governing authority in relation to museum operations and in relation to the community
- the roles of board members, advisory committees and officials of parent organizations, umbrella organizations or auxiliary components, and the relationship of each in the overall governance of the museum

**2. HOW IS THE MUSEUM'S MANAGEMENT STRUCTURE APPROPRIATE TO THE MUSEUM'S MISSION AND OPERATION?**

Using specific examples, consider

- the administrative relationship between the museum director and the governing authority
- the administrative relationship between the director and the museum staff
- the rationale for and effectiveness of the museum's internal administrative structure
- how the administrative structure relates to auxiliary components of the museum's organization

*Note: You **must** include an organizational chart as an additional page.*

**3. WHAT IS THE MUSEUM'S FINANCIAL CONDITION?**

Using specific examples, consider

- a description of the museum's financial condition as reflected in its financial statements
- an explanation of any deficits or excesses of operating revenues over operating expenditures and plans to manage the deficits or excesses

*Note: On this page, show deficits or excesses of operating revenues for the last five years. (Give figures for the last five years for which figures are available. If the museum uses zero-based accounting, use zeros as appropriate.)*

**4. WHAT ARE THE MUSEUM'S PROCEDURES FOR BUDGETARY DEVELOPMENT AND CONTROL?**

Using specific examples, consider

- a description of the museum's financial operations including procedures for financial accounting and financial oversight
- how the museum's level of fiscal control and responsibility is appropriate to its level of operations
- how budgets are developed and how budgetary control is maintained
- how the qualifications of the personnel responsible for financial management activities are appropriate

## IX. SUPPORT

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

### 1. HOW DOES THE COMMUNITY'S NON-CASH SUPPORT OF MUSEUM OPERATIONS DEMONSTRATE COMMITMENT TO THE MUSEUM'S SERVICES?

Form C (pages 6.9–6.10) must be submitted, and Form C items should be described in this answer.

Using specific examples, consider

- the community's involvement in and support of the museum and its activities
- the role of volunteers and support organizations in enhancing museum services
- activities undertaken by the community to ensure the success of the museum's ongoing operations and special events
- a description of the community's non-cash contributions

### 2. HOW DOES THE MUSEUM ACQUIRE NON-FEDERAL FINANCIAL SUPPORT?

Consider

- the museum's potential and success in acquiring and maintaining broad-based and stable sources of non-Federal financial support
- the museum's potential and success in acquiring support from earned income activities
- the museum's potential and success in acquiring state, local, corporate, foundation, individual and parent organization contributions
- the use of marketing programs, fundraising techniques, membership drives and other activities to increase non-Federal financial support

## X. LONG RANGE PLAN

RELATE YOUR RESPONSES TO THE MUSEUM'S STATEMENT OF PURPOSE/ MISSION STATEMENT.

### 1. HOW DOES THE LONG-RANGE PLAN SUPPORT THE MISSION OF THE MUSEUM?

Using specific examples, consider

- key components of the current plan
- methods used to develop the plan such as institutional self-study or assessment
- how the plan is evaluated and updated to ensure that objectives are met and that goals remain appropriate for the museum
- how the results of evaluations of exhibits and programs are integrated into the plan and used as a basis for decision-making
- the roles of trustees, staff, consultants, members of the community or others in developing the plan

### 2. HOW DOES THE MUSEUM DEVELOP, IMPLEMENT AND UPDATE THE LONG-RANGE PLAN?

Using specific examples, consider

- when the current plan was adopted and the museum's progress in implementing the plan
- how the timetable for implementing the plan is reasonable
- procedures used to monitor the institution's progress in carrying out the plan

**3. HOW WILL GOS FUNDS, IF AWARDED THIS YEAR, BE USED TO FURTHER THE MUSEUM'S PURPOSE?**

Include

- the planned use of funds

For museums that have received prior General Operating Support, Conservation Project Support, Special Project Support\*, Museum Assessment Program, Conservation Assessment Program, Museum Leadership Initiatives awards or Technical Assistance Grants\*, using specific examples, consider

- the museum's past management of IMLS (formerly IMS) funds in supporting the museum's statement of purpose and meeting long-term goals (you may limit the response to awards received in recent years).

*\*Special Project Support and Technical Assistance Grants are no longer available from IMLS.*

## How To Assemble the Application Package

You are responsible for submitting a complete application. Review your application package carefully before sending it to IMLS. You must include *all* of the required items listed below and the proper number of copies. (Each item is described in detail in Step 2.) IMLS will not do your photocopying or collating! *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-8539.

It is your responsibility to assure the application you submit is complete and meets our requirements.

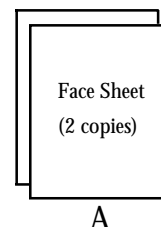
IMLS staff makes a conscientious effort to check all applications for completeness and contact you if we find something missing. However, we do not accept unsolicited application materials postmarked after January 15, 2000. In addition, once the applications are sent to the field reviewers no changes can be made. Thus if you leave out a narrative section, the reviewers will be instructed to give your application a score of 1 for that section.

---

**ASSEMBLE  
YOUR  
APPLICATION  
MATERIALS  
AS  
FOLLOWS:**

**STEP 1**

Make two copies of your Face Sheet (item A). These are in addition to the five copies required in Step 2.



**STEP 2**

Send five copies of all the materials listed on the next page (except item G—see below\*). Collate them as follows (place item A on the top of entire pile).

*Note: IMLS staff need to see the front page (Face Sheet) of each copy of your application during processing. Please do not use opaque folders that cover the Face Sheet. Large binder clips, staples or clear plastic covers are good choices.*

Face Sheet/ Financial Information Checklist	Financial Statement Forms A & B	Form C- Valuing Non-Cash Contributions	Statement of Purpose/ History (1 page maximum)	Narrative
B	C	D	E	F
Grant Processing Information/ Assurances†	Proof of Nonprofit Status	<p>* Item G: These materials are for IMLS staff use only (they are not sent to reviewers). Include only <u>one</u> copy each of G 1 and G2 with the IMLS (top) copy of your application.</p> <p>† Official's signature must be original—<i>not</i> photocopied</p>		
G1*	G2*			
Audited Financial Statements (if applicable)	Request for Waiver of Separate Audit (if applicable)	Request for Deferral of Audit (if applicable)	Request for Extension to Submit Audit (if applicable)	Representative Publication (optional)
H	I	J	K	L

**STEP 3**

Place the face sheets from Step 1. on top of the five collated copies from Step 2. (Place your IMLS copy, including items G 1 and 2 , on top of the other four collated applications.) Your materials are now ready to send to IMLS.

---

**ACKNOWLEDGEMENT  
OF RECEIPT**

IMLS will send you a form with the log number of your application by February 29, 2000. This is your proof that IMLS has received your application. If you do not receive this form please contact us (202/606-8539) no later than March 17, 2000.

## Sending the Application Package

Mail or hand deliver GOS applications to:

**Institute of Museum and Library Services  
Old Post Office Building  
1100 Pennsylvania Avenue, NW  
Room 609  
Washington, DC 20506**

Telephone: (202) 606-8539

TTY (for hearing impaired people): (202) 606-8636

Within 30 days of receiving your application, we will mail you an acknowledgment form with your application log number. If you do not receive an acknowledgment, contact us to confirm receipt of your application.

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### HAND DELIVERY

We will accept hand-delivered applications between 9:00 a.m. and 4:30 p.m. (eastern time) daily, except Saturdays, Sundays, and Federal holidays. Hand-delivered applications will *not* be accepted after 4:30 p.m. on the application deadline date. We will give you a written receipt when you deliver your application.

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### MAIL DELIVERY

Applications sent by mail must be *postmarked* no later than **January 15, 2000**.

*We may need to see proof of mailing.*

Acceptable proof of mailing consists of a legible U.S. Postal Service dated postmark, a legible receipt stamped by the U.S. Postal Service, or a legible dated shipping label, invoice, or receipt from a commercial carrier. We will not accept private metered postmarks or private mail receipts without a legible date stamped by the U.S. Postal Service. We recommend certified or registered mail, "return receipt requested," when using the U.S. Postal Service.

*Note: The U.S. Postal Service does not always postmark a package when they receive it. You should specifically request and verify that your envelope has been properly date stamped. The green "return receipt" card does not meet the IMLS requirements for proof of mailing.*

## Application Deadline

The deadline for GOS applications is: **January 15, 2000**

We make *no* extensions of the deadline. Late applications are returned without being reviewed.

---

**APPLICATION  
FORM**

# Face Sheet

1. Applicant Museum \_\_\_\_\_

2. Museum's Mailing Address \_\_\_\_\_

3. City \_\_\_\_\_

4. State \_\_\_\_\_

5. Zip Code \_\_\_\_\_

6. Museum Director \_\_\_\_\_

(Check One)

7. Business Phone of Museum Director \_\_\_\_\_

☐ Ms.

☐ Mr.

8. FAX Number of Museum \_\_\_\_\_

☐ Mrs.

☐ Other (specify) \_\_\_\_\_

9. e-mail address of Museum Director \_\_\_\_\_

10. Name of sponsoring institution/parent organization, if applicable (e.g., municipality, state, or university) \_\_\_\_\_

11. Governing control of museum

*select one of the following:*

☐

1. Federal

2. State

3. Municipal

4. County

5. Private Nonprofit

6. Other (specify) \_\_\_\_\_

12. Museum's discipline

*select one of the following:*

☐

01. Aquarium

02. Arboretum

/Botanical Garden

03. Art

04. Children's/Youth

05. General\*

06. Historic House

/Site

07. History

08. Natural History

/Anthropology

09. Nature Center

10. Planetarium

11. Science/Technology

12. Zoo

13. Specialized\*\*

(specify discipline) \_\_\_\_\_

13. Is the museum college or university controlled? (Check One)

☐ Yes

☐ No

14. Museum's attendance for the 12-month period prior to application. \_\_\_\_\_

15. Total number of hours the museum was open to the public for the 12-month period prior to application. \_\_\_\_\_

16. Year the museum was first open and exhibiting objects to the general public. \_\_\_\_\_

17. Number of full-time paid museum staff. \_\_\_\_\_

19. Number of full-time unpaid museum staff. \_\_\_\_\_

18. Number of part-time paid museum staff. \_\_\_\_\_

20. Number of part-time unpaid museum staff. \_\_\_\_\_

21. Is the museum a collections holding institution? (Circle One)

Yes

No

22. Museum's **non-Federal** operating income for the most recently completed fiscal year [copy figure from Form A Front, line 29, (page 6.5)]

19\_\_\_\_ (year)

\$ \_\_\_\_\_ .00

23. Museum's **non-Federal** operating income for the second most recently completed fiscal year [copy figure from Form B Front, line 29 (page 6.7)]

19\_\_\_\_ (year)

\$ \_\_\_\_\_ .00

24. GRANT AMOUNT REQUESTED

\$ \_\_\_\_\_ .00

\* A museum with collections representing two or more disciplines equally (eg. art and history)

\*\* A museum with collections limited to one narrowly-defined discipline (eg. textiles, stamps, maritime, ethnic group)



## Financial Information Checklist

Circle the appropriate boxes below to let the reviewers know which financial statements or requests you have included with your application. If you are submitting audited financial statements, circle box A or B to indicate whether or not that information is required by IMLS.

- |  | <i>Required</i> | <i>Optional</i> |
|--|-----------------|-----------------|
|  | ■ A             | ■ B             |
| ■ Audited Financial Statements                       | ■ A             | ■ B             |
| ■ Request for Waiver of Separate Audited Requirement |                 |                 |
| ■ Request for Deferral of Audit Requirement          |                 |                 |
| ■ Request for Extension to Submit Audit              |                 |                 |
| ■ (None of the Above)                                |                 |                 |

**Form A Front REVENUE**

Name of Applicant \_\_\_\_\_

Most recently completed fiscal year \_\_\_\_\_ month/day \_\_\_\_\_ to month/day, \_\_\_\_\_ 199 \_\_\_\_\_

READ INSTRUCTIONS IN PART 3 BEFORE PROCEEDING

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
<b>PROGRAM REVENUES</b>				
1. Admissions	_____	_____	_____	_____
2. Membership	_____	_____	_____	_____
3. Enrollment fees/education programs	_____	_____	_____	_____
4. Museum store (gross)	_____	_____	_____	_____
5. Food service (gross)	_____	_____	_____	_____
6. Publications, reproduction rights, royalties	_____	_____	_____	_____
7. Special events	_____	_____	_____	_____
8. Special exhibition fees	_____	_____	_____	_____
9. Investment income	_____	_____	_____	_____
10. Interest & dividends	_____	_____	_____	_____
11. Rental	_____	_____	_____	_____
12. Auxiliary activities specify _____	_____	_____	_____	_____
13. Miscellaneous/other _____	_____	_____	_____	_____
14. Total Program Revenues (sum lines 1-13)	_____	_____	_____	_____
<b>OTHER SUPPORT</b>				
15. Federal Grants (including IMLS/IMS)	_____	_____	_____	_____
16. Individual contributions	_____	_____	_____	_____
17. Foundation grants	_____	_____	_____	_____
18. Corporate grants	_____	_____	_____	_____
19. State support	_____	_____	_____	_____
20. Local support	_____	_____	_____	_____
21. Parent Organization support	_____	_____	_____	_____
22. Transfers	_____	_____	_____	_____
23. Total "Other Support" (sum lines 15-22)	_____	_____	_____	_____
24. Total value non-cash audited contributions-page 6.9	_____	_____	_____	_____
25. Total Program Revenues /Other Support (sum lines 14+23+24)	_____	_____	_____	_____
26. Total value non-cash contributions-page 6.10	_____	_____	_____	_____
27. Subtotal (sum lines 25+26)	_____	_____	_____	_____
28. Total Federal grants	_____	_____	_____	_____

FIGURES IN THIS SHADED AREA  
SHOULD NOT BE INCLUDED IN TOTALS  
ON LINES 25-29.

29. TOTAL NON-FEDERAL PROGRAM REVENUES &amp; SUPPORT \_\_\_\_\_

Explain on an additional sheet any deviations between the information entered on this form and the corresponding audited financial statements submitted with the application.

**Form A Back EXPENSES**

Name of Applicant \_\_\_\_\_

Most recently completed fiscal year \_\_\_\_\_ month/day \_\_\_\_\_ to month/day, \_\_\_\_\_ 199\_\_\_\_\_

READ INSTRUCTIONS IN PART 3 BEFORE PROCEEDING

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
<b>PROGRAM EXPENSES</b>				
30. Salaries and Wages	_____			
31. Benefits	_____			
32. Rent/Mortgage	_____			
33. Maintenance: Utilities	_____			
Janitorial	_____			
Buildings	_____			
Exhibitions	_____			
34. Insurance: Collections	_____			
Liability	_____			
35. Museum Store	_____			
36. Food Service	_____			
37. Contractual	_____			
specify _____	_____			
_____	_____			
38. Professional Development	_____			
39. Travel	_____			
40. Printing and Publication	_____			
41. Telephone/Communication	_____			
42. Postage	_____			
43. Fundraising/Development	_____			
44. Marketing	_____			
45. Supplies	_____			
46. Equipment	_____			
47. Other _____	_____			
_____	_____			
_____	_____			
48. Subtotal Expenses	_____			
49. Change in Net Assets	_____	_____	_____	_____
50. NET ASSETS, BEGINNING OF YEAR	_____	_____	_____	_____
51. NET ASSETS, END OF YEAR	_____	_____	_____	_____

**Form B Front REVENUE**

Name of Applicant \_\_\_\_\_

Second most recently completed fiscal year month/day \_\_\_\_\_ to month/day, \_\_\_\_\_ 199\_\_\_\_\_

READ INSTRUCTIONS IN PART 3 BEFORE PROCEEDING

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
<b>PROGRAM REVENUES</b>				
1. Admissions	_____	_____	_____	_____
2. Membership	_____	_____	_____	_____
3. Enrollment fees/education programs	_____	_____	_____	_____
4. Museum store (gross)	_____	_____	_____	_____
5. Food service (gross)	_____	_____	_____	_____
6. Publications, reproduction rights, royalties	_____	_____	_____	_____
7. Special events	_____	_____	_____	_____
8. Special exhibition fees	_____	_____	_____	_____
9. Investment income	_____	_____	_____	_____
10. Interest & dividends	_____	_____	_____	_____
11. Rental	_____	_____	_____	_____
12. Auxiliary activities specify _____	_____	_____	_____	_____
13. Miscellaneous/other _____	_____	_____	_____	_____
14. Total Program Revenues (sum lines 1–13)	_____	_____	_____	_____
<b>OTHER SUPPORT</b>				
15. Federal Grants (including IMLS/IMS)	_____	_____	_____	_____
16. Individual contributions	_____	_____	_____	_____
17. Foundation grants	_____	_____	_____	_____
18. Corporate grants	_____	_____	_____	_____
19. State support	_____	_____	_____	_____
20. Local support	_____	_____	_____	_____
21. Parent Organization support	_____	_____	_____	_____
22. Transfers	_____	_____	_____	_____
23. Total "Other Support" (sum lines 15–22)	_____	_____	_____	_____
24. Total value non-cash contributions (audited)	_____	_____	_____	_____
25. Total Program Revenues /Other Support (sum lines 14+23+24)	_____	_____	_____	_____
26. Total value non-cash contributions (non-audited)	_____	_____	_____	_____
27. Subtotal (sum lines 25+26)	_____	_____	_____	_____
28. Total Federal grants	_____	_____	_____	_____

FIGURES IN THIS SHADED AREA  
SHOULD NOT BE INCLUDED IN TOTALS  
ON LINES 25–29.

29. TOTAL NON-FEDERAL PROGRAM REVENUES &amp; SUPPORT \_\_\_\_\_

Explain on an additional sheet any deviations between the information entered on this form and the corresponding audited financial statements submitted with the application. corresponding audited financial statements submitted with the application.

**Form B Back EXPENSES**

Name of Applicant \_\_\_\_\_

Second most recently completed fiscal year \_\_\_\_\_ month/day \_\_\_\_\_ to \_\_\_\_\_ month/day, \_\_\_\_\_ 199\_\_\_\_\_

READ INSTRUCTIONS IN PART 3 BEFORE PROCEEDING

	UNRESTRICTED	TEMPORARILY RESTRICTED	PERMANENTLY RESTRICTED	TOTAL
<b>PROGRAM EXPENSES</b>				
30. Salaries and Wages	_____			
31. Benefits	_____			
32. Rent/Mortgage	_____			
33. Maintenance: Utilities	_____			
Janitorial	_____			
Buildings	_____			
Exhibitions	_____			
34. Insurance: Collections	_____			
Liability	_____			
35. Museum Store	_____			
36. Food Service	_____			
37. Contractual	_____			
specify _____	_____			
_____	_____			
38. Professional Development	_____			
39. Travel	_____			
40. Printing and Publication	_____			
41. Telephone/Communication	_____			
42. Postage	_____			
43. Fundraising/Development	_____			
44. Marketing	_____			
45. Supplies	_____			
46. Equipment	_____			
47. Other _____	_____			
_____	_____			
_____	_____			
48. Subtotal Expenses	_____			
49. Change in Net Assets	_____	_____	_____	_____
50. NET ASSETS, BEGINNING OF YEAR	_____	_____	_____	_____
51. NET ASSETS, END OF YEAR	_____	_____	_____	_____

# Form C Front VALUING NON-CASH CONTRIBUTIONS

INCLUDED ON FINANCIAL STATEMENTS

Name of Applicant \_\_\_\_\_

ITEMS INCLUDED ON THIS FORM SHOULD BE SUPPORTED IN THE NARRATIVE SECTION IX. SUPPORT, OF THE APPLICATION.  
READ INSTRUCTIONS ON PAGES 3.5-3.7 AND 4.9 BEFORE PROCEEDING.

**CONTRIBUTED SERVICES****KIND OF SERVICE**

(list by specific title; in parentheses provide number of  
individuals contributing that service)

**MEANS OF VALUING****VALUE**

Curatorial/Collections (research, care of objects, registration, exhibits)

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

Education/Interpretive (information services, docents, teachers, etc.)

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

Administrative/Clerical/Maintenance (membership, office, routine maintenance, etc.)

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

Professional (legal, accounting, fundraising, management, data processing, etc.)

DO NOT INCLUDE THE VALUE OF NORMAL BOARD SERVICE

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

**CONTRIBUTED MATERIALS****MAJOR ITEMS OR TYPES OF MATERIALS (identify clearly)**

(do not include the value of objects donated to the collection)

**MEANS OF VALUING****VALUE**

_____	_____	\$
_____	_____	\$
_____	_____	\$
_____	_____	\$
_____	_____	\$

**CONTRIBUTED RENTAL ALLOWANCE****TYPE OF FACILITY OR EQUIPMENT (list by type)****MEANS OF VALUING****VALUE**

_____	_____	\$
_____	_____	\$
_____	_____	\$
_____	_____	\$

<b>TOTAL VALUE NON-CASH CONTRIBUTIONS</b> (services, materials, and rental allowances)	\$ _____ *
--	------------

\* You are required to enter this amount under "Total Value of non-Cash Contributions" on line 24 of Financial Statement Form A

# Form C Back VALUING NON-CASH CONTRIBUTIONS

NOT INCLUDED ON FINANCIAL STATEMENTS

Name of Applicant \_\_\_\_\_

ITEMS INCLUDED ON THIS FORM SHOULD BE SUPPORTED IN THE NARRATIVE SECTION IX. SUPPORT, OF THE APPLICATION.  
READ INSTRUCTIONS ON PAGES 3.5-3.7 AND 4.9 BEFORE PROCEEDING.

**CONTRIBUTED SERVICES****KIND OF SERVICE****MEANS OF VALUING****VALUE**

(list by specific title; in parentheses provide number of  
individuals contributing that service)

Curatorial/Collections (research, care of objects, registration, exhibits)

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

Education/Interpretive (information services, docents, teachers, etc.)

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

Administrative/Clerical/Maintenance (membership, office, routine maintenance, etc.)

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

Professional (legal, accounting, fundraising, management, data processing, etc.)

DO NOT INCLUDE THE VALUE OF NORMAL BOARD SERVICE

( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$
( )	hours X \$	/hour	\$

**CONTRIBUTED MATERIALS****MAJOR ITEMS OR TYPES OF MATERIALS (identify clearly)****MEANS OF VALUING****VALUE**

(do not include the value of objects donated to the collection)

_____	_____	\$
_____	_____	\$
_____	_____	\$
_____	_____	\$
_____	_____	\$

**CONTRIBUTED RENTAL ALLOWANCE****TYPE OF FACILITY OR EQUIPMENT (list by type)****MEANS OF VALUING****VALUE**

_____	_____	\$
_____	_____	\$
_____	_____	\$
_____	_____	\$

<b>TOTAL VALUE NON-CASH CONTRIBUTIONS</b> (services, materials, and rental allowances)	\$ _____	*
--	----------	---

\* You are required to enter this amount under "Total Value of non-Cash Contributions" on line 26 of Financial Statement Form A

# Grant Processing Information Sheet

## ELIGIBILITY REQUIREMENTS

ALL IMLS GENERAL OPERATING SUPPORT APPLICANTS MUST ANSWER THE FOLLOWING QUESTIONS.

Circle the appropriate answer.

1. Is the museum organized as a public or private nonprofit institution that exists on a permanent basis for essentially educational or aesthetic purposes?

☐ Yes

☐ No

2. Does the museum care for, and own or use tangible objects, whether animate or inanimate?

☐ Yes

☐ No

3. Are these objects exhibited to the public on a regular basis through facilities the museum owns or operates?

☐ Yes

☐ No

4. Is the museum open and exhibiting to the public at least 120 days a year?

☐ Yes

☐ No

5. Has the museum been open and providing museum services to the general public for two full years prior to the grant application deadline?

☐ Yes

☐ No

6. Does the museum have at least one full-time paid or unpaid staff member or the equivalent, whose primary duty is the care, acquisition, or exhibition to the public of objects owned or used by the museum?

☐ Yes

☐ No

## PRIOR IMLS (FORMERLY IMS) AWARDS

HAS THE MUSEUM RECEIVED A :

GOS grant?

☐ Yes

☐ No

CP grant?

☐ Yes

☐ No

SP\* grant?

☐ Yes

☐ No

MAP (I, II, or III) grant?

☐ Yes

☐ No

CAP grant?

☐ Yes

☐ No

MLI grant?

☐ Yes

☐ No

TAG\* grant?

☐ Yes

☐ No

## COSTS REQUIRING IMLS APPROVAL

If you wish to use GOS funds for public information services, publications or major equipment purchases (see p. 1.8 for more details), those items and their costs must be listed below. We will review the list and contact you if necessary. If you do not hear from us, you may assume that your list has been approved.

ITEM

ESTIMATED COST

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\$ \_\_\_\_\_

\$ \_\_\_\_\_

\$ \_\_\_\_\_

\$ \_\_\_\_\_

\* Special Project Support Grants and Technical Assistance Grants are no longer available from IMLS.





## Assurances – Non-Construction Programs

***By signing the application form, the Applicant assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations***

This Assurance of Compliance covers all financial assistance from the Institute of Museum and Library Services in connection with any grant that may be awarded as a result of this application. The United States government has the right to seek judicial enforcement of this assurances, which is binding on the Applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

***NOTE:*** *Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal-awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.*

**As the duly authorized representative of the applicant, I certify that the applicant:**

### FINANCIAL, ADMINISTRATIVE AND LEGAL ACCOUNTABILITY

- 1) *Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB circular No. A-133. "Audits of States, Local Governments, and Non-Profit Organizations."*
- 2) *Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.*
- 3) *Will comply with 45 CFR 1169, certifying to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.*
- 4) *Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1502-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.*
- 5) *Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.*
- 6) *Will give the awarding agency, the Comptroller General of the United States and, if appropriate, any authorized representative, access to and the right to examine all records, books, papers, or*

*documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.*

*7) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.*

*8) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.*

*9) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).*

*10) Applicants who plan to use awards to fund **subgrants, contracts, and subcontracts** should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:*

- 1) Certification of compliance with the nondiscrimination statutes from **institutional** applicants and contractors, and*
- 2) Certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to **include without modification** the following wording in solicitations for all **grant** proposals and for contract that are expected to equal or exceed \$100,000*
  - a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.*
  - b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.*

---

## HISTORIC PROPERTIES

*1) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.*

*2) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470). EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).*

---

## DRUG ENFORCEMENT

- 1) Will provide a drug-free workplace by*
  - a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;*
  - b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free*

workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

- c) Making it a requirement that each employee to be engaged in the performance of that grant be given a copy of the statement required by paragraph (a);
- d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation for a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- e) Notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;
- g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

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## RESEARCH

- 1) Will comply with P.L. 92-248 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.
- 2) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

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## NON-DISCRIMINATION

- 1) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended 20 U.S.C. et seq. 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. et seq.) which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 et seq.) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcohol Prevention, Treatment, and Rehabilitation Act of 1970 (P.L. 91-616) as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) et seq. 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. et seq. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.) as amended, relating to nondiscrimination in the sale, rental or

*financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.*

*2) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.*

## LABOR AND CONSTRUCTION

*1) Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7) the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.*

## LOBBYING

- 1) Will certify compliance regarding lobbying activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000). The undersigned certifies, to the best of his or her knowledge and belief, that:*
- a) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.*
  - b) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.*
  - c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreement) and that all subrecipients shall certify and disclose accordingly.*

## ENVIRONMENTAL AND NATURAL DISASTERS

*1) Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.*

*2) Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990 (d) evaluation of flood hazards in floodplains in accordance with EO 11988 (e) assurance of project consistency*

*with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523; and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205)*

*3) Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.*

**CERTIFICATION  
OF  
AUTHORIZING  
OFFICIAL**

*(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)*

I have examined this application and I hereby certify that

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2000 General Operating Support application have been fulfilled.

Should I receive a grant, I will comply with all requirements of the IMLS Regulations 45 CFR Part 1180\*, all statutes outlines above and all other applicable Federal statutes and regulations

\_\_\_\_\_  
Signature of Authorizing Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of Authorizing Official (printed or typed)

*\* IMLS Regulations are available upon request.*

# You Can Become a GOS Reviewer

## WHY SHOULD I REVIEW?

One of the best ways to become involved in the General Operating Support (GOS) process is to review applications submitted by museums to the GOS program. Since this is a peer review process you will be evaluating applications in your discipline and budget size. Reviewers have told us they find reviewing GOS applications to be beneficial in several ways. Some of these benefits include:

- Increased knowledge of the museum field
- Greater understanding of what makes applications successful
- Provide a service to the museum community

## HOW MUCH WORK IS INVOLVED AND WHEN WOULD I DO IT?

The review period for GOS in FY2000 is tentatively scheduled to be during the month of April. You will be notified in mid-March if you have been selected to review. You will receive 7 or 8 applications to evaluate within a 4 week period. Reviewers tell us that it takes approximately 5-6 hours to thoroughly complete a review of one application, so we anticipate you will need 40 hours to complete the reviews.

## WHO IS ELIGIBLE TO REVIEW?

Any museum professional who has at least five years of professional museum experience and is currently working in a museum is eligible. Our reviewer pool consists of museum professionals at all levels of museum work including: curators, development staff, registrars, assistant directors, directors, educators, and administrators among others.

## HOW DO I SIGN UP TO REVIEW GOS FOR FY 2000?

Fill out the two next pages; this is the IMLS reviewer application form. Mail or fax the completed form and a copy of your resume to:

Institute of Museum and Library Services  
Attn: GOS Reviewers  
1100 Pennsylvania Avenue, Room 609  
Washington, DC 20506  
Fax: 202/606-0010

## WHAT IF I KNOW OF OTHER PEOPLE IN MY MUSEUM WHO WOULD BE GOOD REVIEWERS?

Please feel free to copy the form in this booklet and pass it on to a colleague you think might make a good reviewer.

## WHAT IF I HAVE A QUESTION?

If you have any questions, please contact Steven Schwartzman, Program Officer at 202/606-4641; e-mail [sschwartzman@imls.gov](mailto:sschwartzman@imls.gov) or Dan Lukash, Program Officer at 202/606-4644; e-mail [dlukash@imls.gov](mailto:dlukash@imls.gov)





# Institute of Museum and Library Services General Operating Support Reviewer Application

**\*\*THIS APPLICATION CONFIRMS MY AVAILABILITY TO REVIEW GOS GRANT PROPOSALS IN APRIL, 2000.**

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Museum: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Mailing Address:

Shipping Address:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Work Phone \_\_\_\_\_

Home Phone \_\_\_\_\_

Fax Number: \_\_\_\_\_

Approximate Operating Budget For Your:

Current Museum \_\_\_\_\_ Previous Museum (if known) \_\_\_\_\_

Highest Academic Degree (Please Circle)

01 HS      02 AA      03 BA/BS      04 MA/MS      05 PhD      06 Other

Major Field of Study: \_\_\_\_\_

Disciplines in which you have the most professional museum experience in the last 5 years

1st Choice ☐☐

2nd Choice ☐☐

3rd Choice ☐☐

01. Aquarium

05. General

10. Planetarium

02. Arboretum/Botanical  
Garden

06. Historic House/Site

11. Science & Technology

07. History

12. Zoo

03. Art

08. Natural History/Anthro.

13. Specialized type \_\_\_\_\_

04. Childrens/Youth

09. Nature Center

Years of professional experience working in a museum: \_\_\_\_\_

Is this your first application to become a GOS reviewer?

☐ yes

☐ no

(over)

We are always looking for museum professionals to share their expertise at professional conferences, workshops, and on various panels. Please complete this section by checking the box(es) which identifies the area(s) of museum operations with which you are most experienced.

Programmatic Expertise (check all that apply)

- |   |   |   |   |
|---|---|---|---|
| 01. <input type="checkbox"/> Administration   | 04. <input type="checkbox"/> Education  | 07. <input type="checkbox"/> Finance          | 10. <input type="checkbox"/> Registration     |
| 02. <input type="checkbox"/> Collections Care | 05. <input type="checkbox"/> Exhibition | 08. <input type="checkbox"/> Fundraising      | 11. <input type="checkbox"/> Public Relations |
| 03. <input type="checkbox"/> Curation         | 06. <input type="checkbox"/> Facilities | 09. <input type="checkbox"/> Public Relations | 12. <input type="checkbox"/> Other            |

Remember to include a copy of your current resume and mail it with this form to:

IMLS GOS Reviewer  
1100 Pennsylvania Avenue, NW  
Room 609  
Washington, DC 20506

Remember, completion of this form automatically makes you available to review GOS applications in April, 2000. If you have any questions, please contact Steven Schwartzman, Program Officer, at 202/606-4641, or Dan Lukash at 202/606-4644

# GOS Scoring Definitions

- 1 Applicant's response demonstrates unsatisfactory performance when measured against generally accepted professional practices in this area of services/operations.
- 2 Applicant's response demonstrates some effort to meet generally accepted professional practices in this area of services/operations, but indicates a need for considerable improvement.
- 3 Applicant's response demonstrates a considerable effort to meet generally accepted professional practices in this area of services/operations, but indicates the need for some improvement.
- 4 Applicant's response demonstrates that its services/operations in this area meet generally accepted professional practices, but does not indicate any additional merit.
- 5 Applicant's response demonstrates that its services/operations in this area meet generally accepted professional practices, and indicates some additional merit.
- 6 Applicant's response demonstrates that its services/operations in this area meet generally accepted professional practices and indicates considerable additional merit.
- 7 Applicant's response demonstrates leadership in this area of services/operations when measured against generally accepted professional practices.

## G O S   A P P L I C A T I O N   T I P S

To improve your application...

- Don't forget to look over any GOS review sheets you may have received from IMLS in prior years. Try to address weaknesses pointed out by your reviewers.
- Begin the application process by filling out the financial statement forms in case you need extra time to consult your accountant or compile requested financial data.
- Finish your application a few days ahead of the postmark deadline. This will give you time to do a final proofreading and make any necessary changes before you ship it to IMLS.
- If the preparation of your application is a group effort, be certain that each person has a complete set of instructions and that one individual is designated to assemble all of the information and check for completeness and consistency.
- When you finish writing the narrative and completing the financial statement forms, ask a few people who are very familiar with the museum but have not worked on the application to read and critique it.
- Include specific details in your narrative. Use examples to show how your museum stands out from the crowd. Reviewers can only evaluate from your narrative, no prior knowledge may be used.
- Proofread your application carefully. Be sure that your written presentation reflects the high quality of your institution.

And remember...

- You should never budget or count on receiving a GOS grant, no matter how many times you may have received one in the past.
- Each year is a separate competition. IMLS will not retrieve information from a prior application that you may have forgotten to include; it is up to you to make sure that your submission is complete.
- Be sure that figures on Financial Forms A, B, and C correspond to figures in your audited financial statements and in your narrative responses.

How you can get help from IMLS...

- Request a sample GOS application narrative from the IMLS Office of Museum Services. Sections from applications funded last year, representing various disciplines and budget categories, are available.
- Contact the IMLS Office of Museum Services immediately if you have any questions about the application forms or procedures. Most problems can be resolved over the telephone.



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*and* LIBRARY  
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Washington, DC 20506

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